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ABSTRACT

This study, done at the San Jose State University library, measures the effectiveness of an acquisitions approval plan, designed to acquire current books soon after publication without the time consuming, costly operation of title-by-title ordering, for a group of titles in political science. It also investigates the variation of titles received on approval plans among individual publishers, and between trade and academic publishers, and the possibility that a relationship exists between the subject class of the title and its supply on approval plans. Results show that only 61 percent of the titles expected actually arrived within a time period considered reasonable by the library. In regard to individual publisher performance, the overall results were poor with a very wide range of performance exhibited. Results should force a reevaluation of the effectiveness and reliability of approval plans. Extensive bibliographies of the titles received and those not received through the approval plans are appended to the study. (Author/MBR)

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AN EVALUATION OF APPROVAL PLAN PERFORMANCE: THE ACQUISITION OF TITLES IN POLITICAL SCIENCE

Studies in Librarianship
Number 1

by

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Department of Librarianship
San Jose State University
1975

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TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC) AND USERS OF THE ERIC SYSTEM."

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PREFACE

The Department of Librarianship at San Jose State University requires a course in research methods of all of its graduates. The major portion of this requirement is the production of a research study by each student and each year many of these papers are of such quality as to deserve publication.

With this in mind, the Publications Committee has chosen a research study concerned with the evaluation of approval plan performances in the field of political science. In selecting this study, the Committee was also aware of the time lag, but the results are so basic to the operation of approval plans that it was felt that the information in the study was still of value.

In fact, the weaknesses which were uncovered by the study in regard to approval plan failure might well be an early warning indicating that all academic libraries should re-evaluate the book selection process. If approval plans are only successful in buying 60% of the published material in any given field of knowledge, then certainly all libraries need to take a hard look at their book selection methods.

Although this first contribution is a student's paper, in the future it is the plan of the Department

to publish studies by faculty and alumni as well. Interested parties should send their papers to the Department of Librarianship for evaluation.

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Chapter 1

INTRODUCTION

Statement of the Problem

Approval plans are widely used in academic libraries to acquire current books soon after publication without the time-consuming, costly operation of title-by-title ordering. The present study tested the hypothesis that approval plans of an academic library do supply all the current titles expected. The study, at the Library of San Jose State University, measured the extent of coverage of a group of expected titles in the subject area of political science, including aspects of law, sociology, and the history and philosophy of politics and government which are closely related to it.

The study also investigated the variation in percentage of titles received on approval plans among individual publishers and between trade and academic publishers. The possibility that a relationship existed between the subject class of the title and its supply on approval plans was also explored.

Need for the Study

Since 1958, academic libraries have attempted to cope with such factors as the trend toward more independent undergraduate study; the proliferation of publications; the need to collect the publications of geographical and political areas which have a poorly developed book trade; increased book budgets; increased book costs; rising staff salaries; lack of time and personnel for retrospective book selection; and staggering order and processing backlogs. At the same time, the desirability of concentrating book funds in the library rather than in allocations to academic departments had become increasingly apparent.

As it became widely accepted that traditional title-by-title ordering could neither effectively gather the quantity of current scholarly materials needed by academic libraries nor obtain them soon enough after publication to meet users' needs, blanket order programs and subsequently, approval plans, became prominent alternatives and/or adjuncts to older methods of acquisition.

Advantages ascribed to approval plans by their proponents include the following:

Approval plans would save the library money, either directly in the costs of books acquired or indirectly in the streamlining of internal processing or both. As a corollary, it was suggested that clerical assistance could be reduced insofar as books were received en bloc rather than ordered individually and specifically by title, especially if the contract of services provided for the inclusion of vendor-typed multiple order forms.

The time and effort of librarians and faculty members previously spent in selecting and requesting current titles would be released, enabling them to concentrate on retrospective collection building.

Faster acquisition of current materials would be possible, ideally close to the date of publication and certainly before they went out-of-print. Many titles would have been received by the library before the professor learned of them in his professional journals.

Books which might otherwise have been overlooked by librarians or faculty selectors would be systematically obtained.

Selection would be made with the book in hand rather than by the use of journal review, publisher announcement, listing in a national bibliography, Library of Congress proof slip, or other conventional means.

The return of unwanted titles would be permitted.

Finally, approval plans would provide all, or most of, the current published materials on the desired subjects, from the geographical areas, in the languages, at the levels of scholarship, and within the price parameters delineated by the library and contracted with the vendor(s).

Among the disadvantages attributed to approval plans were the following:

The library might be tempted to collect uncritically, accepting most or all of the titles sent on approval plans even though some would not have been specifically ordered and did not fill a recognized need. The temptation to keep questionable books would be in direct proportion to the amount of time required for critical examination and the cost and inconvenience of returning unwanted material.

Discounts might be lower, as the approval plan includes service features which are costly to the jobber and which inevitably would be passed on to the library.

The library might become too dependent upon the vendor, especially if the latter were supplying a large percentage of the library's total annual acquisition.

Satisfactory implementation of an approval plan might take from six months to a year and might require a comparable period of time to effect the level of communication between the library and the vendor which is vital to successful operation of such approval plans.

It might be necessary to prepare both staff and faculty intensively for the changes in internal and external procedures which would result from the implementation of approval plans.

Large sums of "hard money" would have to be available into the foreseeable future, for once approval plans were implemented, it would be extremely difficult, as well as costly, to return to title-by-title purchasing.

Finally, as approval plan buying gained favor among academic libraries, their collections might duplicate one another, with similar holdings and similar lacunae in library after library.

It became apparent that much research was needed to study, amplify, validate, or reject the contentions listed. Several studies had been reported in the literature, but in the main, approval plans had gained considerable favor without a substantial body of knowledge to support the claims of proponents among librarians and vendors alike.

It was to add to that small body of knowledge that this study was undertaken.

Limitations

The study was limited to the Library of San Jose State University, and to subject areas including and relating to political science. Titles were represented by proof slips received from the Library of Congress during 1972. The study did not deal with the performance of individual jobbers in fulfilling the stipulations of their respective approval plans: instead, it measured the combined effectiveness of all pertinent plans in effect at the Library.[1]

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[1]See Appendix I for a list of individual jobbers. Even though this is not a study of individual jobbers, Richard Abel and Company, Inc. was the principal approval jobber.

The titles studied were those which fulfilled the requirements for inclusion under the Library's approval plans: they were mainly American imprints and included some British and Canadian academic presses; in the English language; and at least at the college level. Textbooks, reprints and serials were excluded, as were titles exceeding $50.00 in price.

Records were searched from January to April 1973.

Hypothesis

The study tested the hypothesis that approval plans supply all the current titles expected by the academic library in the area of political science and related subjects.

Chapter 2

PLAN OF THE STUDY

Literature Survey

Identification and study of the literature pertaining to approval plans were greatly simplified by the publication of an excellent annotated bibliography by McCullough[1] in which the history of the literature was traced from simple descriptions of the Greenaway Plan[2] to complex research studies such as that of Evans[3] which compared the use of titles selected by librarians, faculty members, and approval plans.

Much of the literature was characterized as "state-of-the-art" in that it described the approval plans of various libraries, related problems encountered, and discussed solutions employed in dealing with this new form of acquisition. The Proceedings of the International Seminars on Approval and Gathering Plans in Large and Medium Size Academic Libraries, held in 1968,[4] 1969,[5] and 1971[6] were also mainly descriptive, although they did report some conclusions of research.

Issues covered in the literature included the controversy surrounding the question of professional responsibility for book selection; discussions of the advantages, disadvantages, and limitations of approval plans; responsibilities of the vendor; costs; and the long range impact on book collections viewed from the national perspective.

In addition to the Evans study of book usage cited earlier, reports of research included a survey by Lane[7] of medium-size, mainly public supported academic libraries in which he determined the number which used approval plans, the characteristics of those plans, and the degree of satisfaction concerning them in both the libraries and the faculties of the institutions.

Axford,[8] on the basis of his study of five Florida State Universities in which processing costs and staff use of time were analyzed, concluded that approval plans were efficient, and that if well-managed, could save a minimum of one full-time staff position. In addition, he summarized the report of a vendor performance study at the University of Oklahoma Libraries[9] which validated the

contention that 80 per cent of the titles eligible for inclusion in the approval plan would be received before their first appearance in a standard trade bibliography.

Surveys conducted by Atkinson[10, 11] at Ohio State University regarding faculty reaction to approval plans established that the vast majority of faculty members approved of the method of acquisition, many had suggestions for improvement, and a few disapproved strongly.

In general, the literature indicated that approval plans were here to stay, that their inherent advantages outweighed their shortcomings, that much more research and evaluation were needed, and that their success might be commensurate with the effort expended by the individual institution in maintaining and monitoring them.

Dudley, in his study of the approval plans of the member libraries of the Association of Research Libraries, concluded that "A blanket order is a powerful tool; like any powerful tool it can be dangerous if it is not handled properly."[12] The present researcher would add that the approval plan is a tool which must be thoroughly understood, and its properties and limitations fully identified and analyzed. That which it cannot do well must be assigned to other methods of acquisition if the academic library is to reach its book collection goals.

Definition of Terms

Terms and abbreviations used in the study were defined as follows:

Approval Plan:[13] An acquisitions program contracted between library and publisher or jobber to provide current titles soon after publication, under the specific provisions of the profile. Return privileges are extended.

Blanket Order:[13] An acquisitions program which specifies that everything published by a given publisher, in a geographical area, or in a subject area is to be sent to the library automatically upon publication. Return privileges are not usually extended.

In-Process File: The file of records representing books which have been received by the library and are being cataloged.

Jobber: A wholesale bookselling firm which handles the publications of large numbers of publishers.

LC: Library of Congress

Proof Slip: Facsimile of LC printed catalog cards.

Profile: A detailed listing of criteria governing the inclusion and exclusion of titles on an approval plan. The profile delineates the scope of the plan in such areas as subject matter, language. geographic area, level, publisher, price, and format. The profile is subject to review and adjustment as needed.

Returns File: A file of records representing books received on an approval plan but rejected by the library and returned to the vendor.

Trade Publisher: A commercial publisher as distinct from one connected with a university, government agency, or society.

Vendor: The supplier of books: publisher, jobber, or bookstore.

Data Collection Methods

Data was collected by comparing a group of titles expected, represented by Library of Congress proof slips, with titles received by the Acquisitions Department of the Library of San Jose State University. Titles received were represented by parts of multiple order forms in various files of the Acquisitions Department and in a few cases by the books themselves.

Mr. Robert B. Harmon, Acquisitions Librarian, supplied a group of Library of Congress proof slips, representing titles which met the requirements for inclusion under the several approval plans in effect at the Library. Each of the proof slips had been received by the Library during 1972, indicating that cataloging had been completed by the Library of Congress at the end of 1971 and during 1972.

The titles in the study were monographs; were published mainly in 1971 and 1972; were mainly domestic, with some representation of Canadian and British academic presses which are distributed in the United States; were at the college level; were in English; were neither textbooks[14] nor reprints; and were under $50.00 in price.

For purposes of the study, because of both interest and convenience, the subject matter of the titles expected was limited to political science and related areas.

The group of titles expected is not comprehensive: it does not include all the current books which deal with political science. Of approximately 5000 proof slips representing books in the subject areas of the study which were received during 1972, 1100 were initially chosen as also meeting the criteria for coverage under the Library's approval plans. This group was further weeded to eliminate textbooks and other titles for which inclusion on the approval plans seemed unlikely. The final study sample contained 907 titles, screened for characteristics which made receipt under an approval plan predictable. It was estimated that this sample represents at least 75 percent of all the titles in the subject area of the study which could be expected on approval plans during the time period of the study.

Following alphabetization by main entry, the titles in the study were compared item by item:

1) With records of the in-process file, containing records of books being cataloged;
2) With records recently removed from the in-process file, indicating recent completion of cataloging;
3) With records of returned books, indicating those titles received on approval plans but rejected; and
4) With books awaiting decision regarding their status (titles received on approval plans are displayed without having a record filed until library subject specialists review them and determine whether they will be kept or returned.)

In-process records were compared with the study titles in mid-January, 1973, at the beginning of March, and at the beginning of April. It was considered important to determine whether significant numbers of books would be received during the months following the first search.

Since it was not possible to distinguish those items which were published and/or cataloged during the latter part of 1972, it was desirable to continue the study through the first quarter of 1973. It was felt that by so doing, a reasonable period of time had been allotted so that each title could have gone from publication to approval plan vendor to the library.

It was necessary to examine recently cataloged records only once, at the beginning of the study. Records of returned books were examined periodically and books awaiting decision were examined only once, at the end of the study.

Chapter 3

RESULTS OF THE STUDY

General Results

Search of relevant files in order to compare titles expected with titles actually received resulted in data which are summarized in Table 1.

Table 1

Results of Comparing Titles Expected and Titles Received on Approval Plans

Item	Number	Percentage
Titles received on approval plans[1]	545	60.1
Titles not received on approval plans[2]	342	37.7
Titles received, source unknown[3]	20	2.2
Total in study	907	100.0

Regarding the twenty titles whose source is unknown, it was found that each was in the library and had already been cataloged; however, the multiple order slips which represented these titles while they were in process of being cataloged had been dispersed, making verification of source infeasible. It was possible that some of the twenty titles in question had been received on an approval plan; indeed it might have been reasonable to assume that the same percentage of receipt would have applied to these titles as to the group as a whole. Nonetheless, because verification of source could not be established it was decided not to include these titles in the further statistical analysis of the data.

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[1]See Appendix II for list of titles received.

[2]See Appendix III for list of titles not received.

[3]See Appendix IV for list of titles received, source unknown.

Exclusion of the twenty titles in question now provides a direct comparison of titles expected and titles received which is summarized in Table 2.

Table 2

Results of Comparing Titles Expected and Titles Received on Approval Plans, Adjusted to Exclude Items Whose Source is Unknown

Item	Number	Percentage
Titles received on approval plans	545	61.4
Titles not received on approval plans	342	38.6
Total in Study	887	100.0

It became apparent that the hypothesis must be rejected, as almost 40 percent of the titles which had been expected did not, in fact, arrive.

Results Analyzed by Publisher

A list of the 225 publishers represented in the study appears in Appendix V. Values are given for total number of titles of each publisher; number of titles received, number not received, and number for which source is unknown.

For purposes of analysis and comparison publishers were grouped into two categories: academic presses and trade publishers. The titles in the study were analyzed to determine the percentage received from each group and the percentage received from selected publishers in the trade group, where wide variation was noted. It was hoped that the resulting data would facilitate prediction of the probability of receipt of a given title, based upon knowledge of its publisher.

Academic presses. Data concerning academic publishers appear in Tables 3 and 4.

Table 3

Results of Comparing Titles Expected and Titles Received on Approval Plans: Publications of All Academic Presses in the Study

Item	Number of Titles	Percentage
Academic press titles received on approval plans	188	86.2
Academic press titles not received on approval plans	30	13.8
Total in Study	218	100.0

Table 4

Results of Comparing Titles Expected and Titles Received on Approval Plans: Publications of Academic Presses Represented by 4 or More Titles in the Study

Item	Number of Titles	Percentage
Academic press titles received on approval plans	130	90.9
Academic press titles not received on approval plans	13	9.1
Total in Study	143	100.0

The data indicated that the approval plans were far more effective in providing titles published by academic presses than titles in the study as a whole.

Trade Publishers. Table 5 shows data for all trade publishers represented in the study while Table 6 groups only publishers represented by four or more titles. It was felt that four titles are a minimum number from which valid judgments can be made.

Table 5

Results of Comparing Titles Expected and Titles Received on Approval Plans: Publications of all Trade Publishers

Item	Number of Titles	Percentage
Trade Titles Received on Approval Plan	357	53.4
Trade Titles Not Received on Approval Plan	312	46.6
Total in Study	669	100.0

Table 6

Results of Comparing Titles Expected and Titles Received on Approval Plans: Publications of Trade Publishers Represented in the Study by 4 or More Titles

Item	Number of Titles	Percentage
Titles Received on Approval Plan	288	56.1
Titles Not Received on Approval Plan	225	43.9
Total in Study	513	100.0

The percentage of receipt among all trade publishers differed from that of trade publishers with four or more titles by only 2.7 percent. Receipt for all trade publishers (Table 5) was 8.0 percent less than that of all publishers in the study (Table 2) and 32.8 percent less than that of all academic presses (Table 3).

Trade publishers were further divided into two groups: publishers for which receipt of titles on approval plans was 75 percent or more and publishers for which receipt of titles was less than 75 percent.

The 75 percent value was chosen as a criterion for dividing trade publishers in order to isolate those publishers

with low (Table 7) and high (Table 8) percentages of receipt. The separation permits the reader to consult the tables to determine which publishers meet his standards of acceptability. It is to be understood though that failure of a publisher may often be the fault of the jobber.

Table 7

List of Trade Publishers Represented in the Study by 4 or More Titles for Which Less Than 75% of the Titles Were Received

Publisher	Total Books in Study	Books Received	Percentage Received
Allyn and Bacon	10	3	30.0
Bobbs-Merrill	7	2	28.6
Crowell	7	4	57.1
Dodd, Mead	6	2	33.3
Doubleday	11	7	63.6
Dryden	4	2	50.0
Duxbury	7	1	14.3
Exposition	4	1	25.0
Facts on File	8	2	25.0
Foundation	4	0	0.0
Harcourt, Brace	5	3	60.0
Harper & Row	34	19	55.9
Hawthorn	4	2	50.0
Heath	6	2	33.3
Holt	14	5	35.7
Houghton	7	3	42.9
Lippincott	4	2	50.0
Little, Brown	21	9	42.9
McGraw Hill	16	7	43.8
Markham	5	0	0.0
Merrill	7	0	0.0
Nash	4	1	25.0
Norton	15	11	73.3
Oceana	18	4	22.2
Prentice-Hall	24	15	62.5
Putnam	6	3	50.0
Quadrangle	9	6	66.7
Rand McNally	4	1	25.0
Random House	20	13	65.0
Rowman and Littlefield	7	3	42.9
Sage	11	7	63.6
St. Martin's	8	1	12.5
Scribner's	7	5	71.4
Simon and Schuster	8	5	62.5
Taplinger	5	3	60.0

Table 7 (continued)

Publisher	Total Books in Study	Books Received	Percentage Received
VanNostrand	4	1	25.0
Vantage	5	0	0.0
Wiley	13	6	46.2
Wiley-Interscience	4	2	50.0
Winthrop	5	3	60.0
Total	368	166	45.1

Table 8

List of Trade Publishers Represented in the Study by 4 or More Titles for Which 75% or More of the Titles Were Received

Publisher	Total Number of Books in Study	Number of Books Received	% of Total Received
American Elsevier	5	4	80.0
Anchor	7	6	85.7
Atheneum	4	3	75.0
Basic	4	3	75.0
Beacon	7	6	85.7
Brookings Institution	6	5	83.3
Free	17	13	76.5
Goodyear	4	3	75.0
Knopf	12	10	83.3
Lexington	9	7	77.8
Liveright	4	4	100.0
Macmillan	7	6	85.7
Pantheon	4	3	75.0
Praeger	35	31	88.6
Public Affairs Press	4	3	75.0
Ramparts	5	4	80.0
Saturday Review Press	4	4	100.0
Scarecrow	4	4	100.0
Total	142	119	83.8

Results Analyzed by Subject Class

In order to establish whether a relationship existed between the subject area of a book, as classified by the Library of Congress[1], and its receipt or non-receipt on the Library's approval plans, an analysis was undertaken which led to the data in Appendix VI and its summary in Table 9.

Table 9

Results of Comparing Titles Expected and Titles Received on Approval Plans, Organized by Library of Congress Class[2]

LC Class	Number of Titles in Study	Number Received on Approval Plan	Number Not Received on Approval Plan	Percentage
D	170	126	44	74.1
E	87	57	30	65.5
F	38	24	14	63.2
H	127	88	39	69.3
J	304	173	131	56.9
K	86	36	50	41.9
misc.	52	33	19	63.5
Dewey[2]	23	8	15	34.8
Totals	887	545	342	

The data indicated that class J, political science, fell slightly (4.5 percent) below the figure of 61.4 percent which represented receipt for the total number of books in the study. With the exception of class K, law, and the small group of titles classified by the Dewey system, the other classes were above the figure for the total. Class H, Social Sciences, was 7.9 percent above and Class D, history and topography (except America), was 12.7 percent above the figure for the total. Class K fell 19.5 percent below the total and the small group of Dewey-classified titles, which were mainly in the area of law, were 26.6 percent below.

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[1]In the case of 23 titles LC classification did not appear on the proof slips: only classification by the Dewey Decimal System was indicated. Of these, 18 were in law, 2 in sociology, 2 in history, and 1 in political science. (Appendix VII).

[2]Ibid.

Results of the Time Study

Records were checked initially during January, 1973, again at the beginning of March and at the beginning of April. Information regarding receipt of titles on the approval plans for these time periods appears in Table 10.

Table 10

Number of Titles Received on Approval Plans at Time of Initial Search and in Subsequent Months

Item	Number of Titles Received	Percentage of All Titles Received	Percentage of Remaining Titles Received
Titles received through January 1973	516	94.7	---
Additional titles received during February, 1973	7	1.3	1.9
Additional titles received during March, 1973	22	4.0	6.0
Totals	545	100.0	

Figures in the last column of Table 10 represent the percentage of titles which had been in the "not received" category but which came in within the time period noted. During February, 7 of the 371 titles not yet received (1.9 percent) did come in. This left 364 titles unreceived, of which 22 (6.0 percent) came in during March. Unreceived titles at the end of the study numbered 342 (Table 2).

Chapter 4

DISCUSSION AND IMPLICATIONS OF THE STUDY

The Objective Evidence and Its Meaning

The most important finding of the study was that which led to the rejection of the hypothesis: the combined approval plans of the Library did not supply all the books expected in the subject areas defined in the study. Only 61.4 percent of the titles expected had, in fact, been received by April, 1973. This is not to say that additional titles in the study will not be forthcoming; indeed, since 1.9 percent were received in February and 6.0 percent in March, it is reasonable to assume that small numbers will continue to come in. However, one of the attributes of approval plans is supposedly the ability to provide books soon after publication. Since each of the titles in the study was published in 1972 or earlier and cataloged by the Library of Congress during or prior to 1972, the approval plan vendors should have had sufficient time to provide the books within the time parameter of the study.

Thus, the study showed that the Library did not receive the volume of titles it expected. In addition, the finding that almost 40 percent of the titles the Library expected to receive in political science were not received precluded prediction with certainty that a specific title would come in at all. The Library was then faced with the alternatives of claiming the title from the proper approval plan vendor or ordering it from another source, with the possibility that in so doing it was inviting duplication as well as incurring additional paper work. In fact, additional data collected during the course of the study showed that 33 titles had been ordered at the request of faculty members and had been received prior to receipt on approval plans. Each of the 33 was returned to the approval plan vendor.

Some assistance in predicting whether a specific title will be received comes from the analysis of publisher data. For example, if the title's publisher is Praeger, which has a record of receipt of 88.6 percent, the possibility would be great; if the publisher were Allyn and Bacon, at 30.0 percent, or Oceana at 22.2 percent, the prognosis would be poor.

Academic press coverage of titles in the study, at 86.2 percent, was high compared to the overall results, but of course, 100 percent supply was both expected by the Library and desired by it.

As has been noted, receipt for trade publishers, at 53.4 percent, was lower than that of the entire study by 8.0 percent and lower than that of the academic presses by 32.8 percent.

The reasons for the poor overall results and for the very wide range of publisher performance (from 0-100 percent) can only be postulated without further investigation. Perhaps certain publishers were not getting their books to the jobbers responsible for supplying the Library; the jobbers did not have fast access to all the publications of all the publishers as they claimed; and/or the jobbers were simply failing to expedite the shipment of the books to the Library. It is also possible that the jobbers were not interpreting the Library's profile as the Library wished it interpreted, thus failing to send certain subject categories, e.g., law.

Findings in the subject breakdown (Table 9 and Appendixes VI and VII) did not appear to shed a great deal of light on the problem, except to isolate books dealing with law, especially those classified by the Library of Congress in K and by the Dewey Decimal System in the 340's. Titles in K. which mainly concerned law of the United States, were received at 41.9 percent of the total expected. Of the 18 titles classified in the 340's by Dewey, 6 were received, or 33.3 percent of the total. Interestingly, of the 59 titles classified by LC in JX, international law, 39 titles or 66.2 percent of the total, were received.

It is possible that the jobbers responsible for supplying books in these categories did not concur in their understanding of the Library's desire for them. It is also possible that books about law were especially difficult to obtain from their publishers.

Implications and Suggestions for Further Research

The results of the study should force a reevaluation of the effectiveness and reliability of approval plans in providing books in a given subject area. It has been shown that only some 61 percent of the titles expected actually arrived within a period of time considered reasonable by the Library. Assuming the Library considers 61 percent an unacceptable figure, it should approach its approval plan vendors to determine the reasons for their failure to send the missing books.

Some causes of failure, such as misinterpretation of the exclusion provisions of the profile, are correctable; communication between Library and vendors leading to better understanding should remedy the situation. If, however, the causes are intrinsic to the approval plan as a system, the system should either be improved or the Library should consider other alternatives for large-scale acquisition of current titles.

McCullough, in her discussion of vendor responsibility, makes the point that vendors "overstate their capabilities."[1] "Approval plans for U.S. publications do not, because they cannot, supply 'all' or 'virtually all' of the academically pertinent output of '4000 publishers' or even '3000 publishers', major or otherwise."[2] In addition, she states, "Because approval plans/blanket orders do not blanket, prevailing opinion now is that approval plans must be monitored in the library by checking book receipts against Library of Congress proofs and other bibliographic tools."[3]

The present study provides just such a monitor. It does not, however, validate McCullough's statement that "An approval plan will produce most of the books, an accurate statement of the generality."[4] The present researcher is unwilling to define "most" as 61.4 percent of the books expected.

The evidence suggests that additional and probably constant monitoring is necessary in order to evaluate the effectiveness of the Library's approval plans and to base communication and contractual negotiations with vendors on a firm structure of fact.

This study is a starting point. The results of a single study, from the point of view of a limited subject area, cannot necessarily be applied to all subject areas covered by the approval plans of the Library. The present researcher suggests that additional studies be undertaken to determine the approval plans' effectiveness in the remaining subclasses of the social sciences and in the

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[1]Kathleen McCullough, "Approval Plans: Vendor Responsibility and Library Research. A Literature Survey and Discussion," COLLEGE AND RESEARCH LIBRARIES, XXXIII (September, 1972), 375.

[2]Ibid., p. 376.

[3]Ibid.

[4]Ibid., p. 377.

humanities, sciences, and education. Perhaps a random sample of all the subject areas which are covered by the plans would be the most valid and pertinent group of titles for the next study.

The present study has treated all the approval plan vendors as though they were one; further research should evaluate the performance of each. Additional examination of the data collected in this study could lead to some tentative conclusions in the area of political science.

The present study has only marginally approached the factor of speed in supplying books. Further research should surely describe and evaluate the time-effectiveness of individual approval plan jobbers and of the approval plan concept itself as compared with ordering by specific title.

Finally, depending upon the results of future study of the performance of individual approval plan vendors, the Library may wish to continue the use of several vendors considered most effective or may decide to limit itself to a single source judged the most successful in coverage, speed, and cost-effectiveness.

Chapter 5

SUMMARY AND CONCLUSIONS

Summary

The study tested the hypothesis that the approval plans of the Library of San Jose State University, supply all of the books the Library expects in political science and related subject areas. Data was collected by comparing a group of proof slips representing titles expected with records of titles received. Results indicated that, within the time period of the study, only 61.4 percent of the expected titles had been received.

The study analyzed and compared the percentage of receipt of trade publishers and academic publishers, finding that 53.4 percent of expected trade publications were supplied, while 86.2 percent of expected academic press publications were provided.

The subject areas of the titles represented were analyzed by Library of Congress classification. It was found that for most subject classes, the percentage of receipt clustered near the figure for the entire study, 61.4 percent, with exceptions in class D, history, 74.1 percent, and class K, law, 41.5 percent.

Conclusions

The study concluded that since the approval plans of the Library do not supply all the books expected in the subject areas discussed, the Library should communicate with the jobbers responsible for providing the missing books and together determine the causes of failure and the possibility of effecting improved coverage. Should improvement to acceptable levels of coverage be impossible, the Library should consider alternate methods or sources of acquisition.

It was found that much additional research is needed: in additional subject areas, in evaluation of individual jobber performance, and in time studies to determine the speed of supply of books following their publication.

The study concluded that monitoring of approval plan performance on an ongoing basis is essential to accurate evaluation and improved service.

Chapter 2 Footnotes

[1]Kathleen McCullough, "Approval Plans: Vendors Responsibility and Library Research. A Literature Survey and Discussion." COLLEGE AND RESEARCH LIBRARIES, XXXIII (September, 1972), 368-381.

[2]"Plan to Speed Pre-Viewing of Books by Libraries," PUBLISHERS' WEEKLY, CLXXV (May 18, 1959), 31-32.

[3]Gayle Edward Evans, "Book Selection and Book Collection Usage in Academic Libraries," THE LIBRARY QUARTERLY, XL (July, 1970), 297-308.

[4]Peter Spyers-Duran (ed.). APPROVAL AND GATHERING PLANS IN ACADEMIC LIBRARIES. Proceedings of the International Seminar on Approval and Gathering Plans in Large and Medium Size Academic Libraries, held at Western Michigan University on November 14, 1968. (Littleton, Colorado: Libraries Unlimited, 1969).

[5]Peter Spyers-Duran and Daniel Gore (eds.). ADVANCES IN UNDERSTANDING APPROVAL AND GATHERING PLANS IN ACADEMIC LIBRARIES. Proceedings of the Second International Seminar on Approval and Gathering Plans in Large and Medium Size Academic Libraries, held at Western Michigan University on October 30-31, 1969. (Kalamazoo: Western Michigan University, 1970).

[6]_____, ECONOMICS OF APPROVAL PLANS. Proceedings of the Third International Seminar on Approval and Gathering Plans in Large and Medium Size Academic Libraries, held in the Ramada Inn, West Palm Beach, Florida on February 17-19, 1971. (Westport, Connecticut: Greenwood Press, 1972).

[7]David O. Lane, APPROVAL AND BLANKET ORDER ACQUISITIONS PLANS. Prepared for the Institute on Acquisitions Procedures in Academic Libraries, held at the University Library, University of California, San Diego, August 25-September 5, 1969. Sponsored by the Bureau of Libraries and Educational Technology (DHEW/OE). Photocopy of typescript, ED 043 342.

[8]William H. Axford, "The Economics of a Domestic Approval Plan," COLLEGE AND RESEARCH LIBRARIES, XXXII (September, 1971), 371.

[9]Kathleen Maher, and others. HOW GOOD IS YOUR APPROVAL PLAN? A VENDOR PERFORMANCE STUDY. (Norman: University of Oklahoma Libraries, 1969), cited by William H. Axford, "The Economics of a Domestic Approval Plan," COLLEGE AND RESEARCH LIBRARIES, XXXII (September, 1971), 371.

[10]Hugh C. Atkinson, "Faculty Reaction to New Approval Plan at Ohio State University," in Spyers-Duran, APPROVAL AND GATHERING PLANS IN ACADEMIC LIBRARIES, 30-42.

[11]_____, "Faculty Appraisal of an Established Approval Plan," in Spyers-Duran and Gore, eds., ADVANCES IN UNDERSTANDING APPROVAL AND GATHERING PLANS IN ACADEMIC LIBRARIES, 99-109.

[12]Norman Dudley, "The Blanket Order," LIBRARY TRENDS, XVIII (January, 1970), 326.

[13]In the literature, the terms "approval plan" and "blanket order" are often used interchangably. Occasionally they are combined, as in the expression, "blanket approval plan." Historically the blanket order precedes the approval plan.

[14]The decision to categorize a book as a textbook was quite difficult with the proof slip alone as guide. It is, therefore, acknowledged that a few titles which the approval plan vendors considered textbooks might have been retained in the study as "expected titles."

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APPENDIX I

APPENDIX I

Approval plan vendors which supplied the Acquisitions Department of the Library of San Jose State University during the period of the research study:

Abel, Richard and Company, Inc.
Abrams, Harry N., Inc.
Baker and Taylor Company
Bro-Dart - Stacey
Collier Macmillan
Prentice-Hall
Scarecrow Press

APPENDIX II

APPENDIX II

TITLES RECEIVED ON APPROVAL PLANS

Listing is Alphabetical by Library of Congress Main Entry - Library of Congress Classification Letters Denoting Class or Subclass Follow Each Entry

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APPENDIX III

APPENDIX III

TITLES NOT RECEIVED ON APPROVAL PLAN

Listing is Alphabetical by Library of Congress Main Entry - Library of Congress Classification Letters Denoting Class or Subclass Follow Each Entry

Abernathy, Mabra Glenn. CIVIL LIBERTIES UNDER THE CONSTITUTION. 2d ed. Dodd, Mead. 1972. KF

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APPENDIX IV

TITLES RECEIVED: SOURCE OF SUPPLY UNKNOWN

Listing is Alphabetical by Library of Congress Main Entry - Library of Congress Classification Letters Denoting Class or Subclass Follow Each Entry

Bell, Colin. COMMUNITY STUDIES; AN INTRODUCTION TO THE SOCIOLOGY OF THE LOCAL COMMUNITY. Praeger Publishers. 1972, c1971. HT

Brooks, Glenn E. WHEN GOVERNORS CONVENE; THE GOVERNORS' CONFERENCE AND NATIONAL POLITICS. Johns Hopkins Press. 1961. JK

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Engle, Shirley H. A DESIGN FOR SOCIAL EDUCATION IN THE OPEN CURRICULUM. Harper & Row. 1972. LB

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Watlington, Patricia. THE PARTISAN SPIRIT; KENTUCKY POLITICS, 1779-1792. Atheneum. 1972. F

Wilson, Joan Hoff. AMERICAN BUSINESS AND FOREIGN POLICY, 1920-1933. University Press of Kentucky. 1971. HF

Wolf, Eric Robert. THE HUMAN CONDITION IN LATIN AMERICA. Oxford University Press. 1972. HN

APPENDIX V

Publishers Represented in the Study

Publisher	Total Books In Sample	Books Rec'd On Approval Plans	Books Not Rec'd on Approval Plans	Books Rec'd But Source Unknown
ABC-Clio	1	1		
Abingdon Press	2		2	
Acropolis Books	1		1	
Addison-Wesley Pub. Co.	1		1	
Aldine-Atherton	3	3		
Allen and Unwin	1		1	
Allied Publishers	1		1	
Allyn and Bacon	10	3	7	
American Elsevier Pub. Co.	5	4	1	
American Heritage	3	1	2	
Anchor Books	7	6	1	
Archon Books	2	1	1	
Arlington House	1			1
Association Press	1		1	
Atheneum Publishers	5	3	1	1
Augsburg Pub. House	1		1	
Avon Books	1		1	
Ballantine Books	2		2	
Bantam Books	1	1		
Barnes and Noble Books	2		2	
Barron's Educational Series	1		1	
Basic Books, Inc. Pub.	4	3	1	
Beacon Press	7	6	1	
Belknap Press of Harvard University Press	1	1		
Boardman, C. Company	1		1	
Bobbs-Merrill Company	7	2	5	
Bowker, R. R. Company	1	1		
Braziller, George, Inc.	1	1		
British Academy by Oxford University Press	1		1	
Brookings Institution	6	5	1	
Cambridge University Press	1	1		
Canfield Press	2		2	
Catholic University of America Press	1		1	
Chandler Pub. Co.	2	1	1	

Publisher	Total Books In Sample	Books Rec'd On Approval Plans	Books Not Rec'd on Approval Plans	Books Rec'd But Source Unknown
Chelsea House	3	1	2	
Chilton Book Co.	1	1		
Clarendon Press	12	9	3	
College and Univ. Press	1		1	
Collier Books	2	1	1	
Columbia Univ. Press	7	6	1	
Cornell Univ. Press	9	9		
Council on Foreign Relations, by Praeger	2	2		
Coward McCann and Geoghegan	3		3	
Crowell	8	4	3	1
Day, John Company	1		1	
Delacorte Press	3	2	1	
Dial Press	3	1	2	
Diplomatic Press	2	2		
Dodd, Mead and Co.	6	2	4	
Dorrance and Co.	1		1	
Dorsey Press	3	1	2	
Doubleday and Co.	11	7	4	
Drake Publishers	2	1	1	
Dryden Press	4	2	2	
Duke University Press	4	3	1	
Dunellen Company	2	1		1
Duquesne Univ. Press	1	1		
Dutton, E. P., & Co.	1		1	
Duxbury Press	7	1	6	
East Asia Research, Distributed by Harvard University Press	2	1	1	
East European Quarterly, Distributed by Columbia Univ. Press	1	1		
Eerdmans, Wm. B. Pub. Co.	2	2		
Exposition Press	4	1	3	
Facts on File, Inc.	8	2	6	
Fairleigh Dickinson Univ. Press	4	4		
Farrar, Straus & Giroux	1	1		
Ferguson Pub. Co., Distributed by Doubleday	1		1	

Publisher	Total Books In Sample	Books Rec'd On Approval Plans	Books Not Rec'd on Approval Plans	Books Rec'd But Source Unknown
Follett Pub. Co.	1	1		
Foundation Press	4		4	
Free Press	17	13	4	
Funk & Wagnalls Co.	1	1		
Gambit	1	1		
General Learning Press	1		1	
Glencoe Press	2		2	
Glendessary Press	2	2		
Goodyear Pub. Co.	4	3	1	
Gordon and Breach	2	1	1	
Grosset and Dunlap	1		1	
Grossman Publishers, Inc.	3	1	2	
Grove Press	2	1	1	
Halsted Press Div., Wiley	1		1	
Harcourt, Brace, Jovanovich	5	3	2	
Harper & Row, Pub.	36	19	15	2
Harvard Univ. Press	9	8	1	
Hastings House Pub.	1	1		
Hawthorn Books	4	2	2	
Heath, D. C., & Co.	6	2	4	
Holbook Press	2	1	1	
Holt, Rinehart & Winston	14	5	9	
Houghton Mifflin Co.	7	3	4	
Humanities Press	1		1	
Indiana Univ. Press	3	3		
Institute of Government and Public Affairs by University of Illinois Press	1	1		
Institute of Governmental Studies by University of California Press	1	1		
Institute of Latin American Studies, University of Texas Press	1	1		
International Publishers	3	3		

Publisher	Total Books In Sample	Books Rec'd On Approval Plans	Books Not Rec'd on Approval Plans	Books Rec'd But Source Unknown
Iowa State Univ. Press	1	1		
Jenkins Pub. Co.	1		1	
Johns Hopkins Univ. Press	11	10		1
Jonathan David Pub.	1		1	
Jossey-Bass, Inc. Publishers	1			1
Julian Press	1		1	
Kendall/Hunt	2		2	
Knopf, Alfred A.	12	10	2	
Lexington Books	9	7	2	
Lippincott, J. B., Co.	4	2	2	
Little, Brown & Co.	21	9	12	
Littlefield, Adams & Co.	1	1		
Liveright Pub. Co.	4	4		
Louisiana State Univ. Press	4	2	1	1
R. B. Luce	1	1		
McCutchan Publishing Corp.	2		2	
McGraw Hill Ryerson Book Co.	16	7	9	
McKay, David Co.	2	2		
Macmillan Co.	7	6	1	
Manchester Univ. Press, Distributed by Humanities Press	1		1	
Markham Publishing Co.	5		5	
MIT Press	6	6		
Memphis State Univ. Press	1	1		
Merrill, Charles E., Publishing Co.	7		7	
Michigan State Univ. Press	3	1	2	
Monthly Review Press	3	3		
Morrow, Wm., & Co.	4	3		1
Nash Publishing Co.	4	1	3	
New American Library	2	2		
Naval Institute Press	1		1	

Publisher	Total Books In Sample	Books Rec'd On Approval Plans	Books Not Rec'd on Approval Plans	Books Rec'd But Source Unknown
New York Times Publications	1	1		
New York Univ. Press	3	3		
Northwestern Univ. Press	5	4	1	
Norton, W. W., & Co.	15	11	4	
Oceana Publications	19	4	14	1
Octagon Books	1		1	
Ohio State Univ. Press	3	3		
Oxford Univ. Press	11	9	1	1
Pantheon Books	4	3	1	
Parent's Magazine Press	1		1	
Parkside Press	2		2	
Pathfinder Press	3	1	2	
Peacock, F. E., Publishers	1		1	
Pegasus	2	1		1
Penguin Books	3		3	
Pennsylvania State University Press	1	1		
Philosophical Library	1		1	
Popular Library	1		1	
Potomac Books, Inc. Publishers	1		1	
Praeger Publishers	36	31	4	1
Prentice-Hall	24	15	9	
Princeton Univ. Press	15	13	1	1
Public Affairs Press	4	3	1	
Putnam's Sons, G. P.	6	3	3	
Quadrangle Books	9	6	3	
Ramparts Press	5	4	1	
Rand McNally & Co.	4	1	3	
Random House	20	13	7	
Regnery, Henry, Co.	1		1	
Resources for the Future, Distributed by Johns Hopkins Press	2	1	1	
Rowman & Littlefield	7	3	4	
Royal Institute of International Affairs, Oxford Univ. Press	1	1		

Publisher	Total Books In Sample	Books Rec'd On Approval Plans	Books Not Rec'd on Approval Plans	Books Rec'd But Source Unknown
Russell Sage Foundation	1		1	
Rutgers Univ. Press	2	2		
Sage Publications	11	7	4	
St. John's Univ. Press	2		2	
St. Martin's Press	8	1	7	
Saturday Review Press	4	4		
Scarecrow Press	4	4		
Schenkman Pub. Co.	2	1	1	
Schenkman, Distributed by General Learning	2		2	
Scribner's, Charles, Sons	7	5	2	
Seabury Press	1		1	
Shoe String Press	1		1	
Simon and Schuster	8	5	3	
Southern Illinois Univ. Press	1	1		
Southern Methodist Univ. Press	1	1		
Spartan Press	1	1		
Speller, Robert & Sons, Pubs.	1	1		
Stackpole Books	1	1		
Stanford Univ. Press	4	4		
Stein and Day	3	1	2	
Swallow Press	1		1	
Taplinger Pub. Co.	5	3	2	
Temple Univ. Press	1	1		
Thomas, Charles C., Pubs.	1	1		
Time-Life Books	2		2	
Transaction Books, Distributed by Dutton	1	1		
Twayne Publishers	2	1	1	
Ungar, Frederick, Publishing Company	1	1		
Universe Books	1	1		
Univ. of Arizona Press	2	1	1	
Univ. of California Press	13	12	1	

Publisher	Total Books In Sample	Books Rec'd On Approval Plans	Books Not Rec'd on Approval Plans	Books Rec'd But Source Unknown
Univ. of Chicago Press	9	8		1
Univ. of Florida Press	1	1		
Univ. of Georgia Press	3	3		
Univ. of Illinois Press	2	1		1
Univ. of Miami Press	4	4		
Univ. of Missouri Press	3	1	2	
Univ. of Nebraska Press	1	1		
Univ. of Nevada Press	2	1	1	
Univ. of Notre Dame Press	2	2		
Univ. of Oklahoma Press	1	1		
Univ. of Pennsylvania Press	2	1	1	
Univ. of Pittsburgh Press	2	2		
Univ. of South Carclina Press	1	1		
Univ. of Texas Press	2	1	1	
Univ. of Toronto Press	10	8	2	
Univ. of Washington Press	3	2	1	
Univ. of Wisconsin Press	1	1		
Univ. Press of Hawaii	1	1		
Univ. Press of Kansas	3	2	1	
Univ. Press of Kentucky	3	2		1
Univ. Press of Virginia	4	4		
Van Nostrand Reinhold Company	4	1	3	
Vanderbilt Univ. Press	2	2		
Vantage Press	5		5	
Viking Press	3	3		
Vintage Books	1	1		
Wadsworth Publishing Company	2	1	1	
Watts, Franklin	3		3	
Wayne State Univ. Press	2	2		

Publisher	Total Books In Sample	Books Rec'd On Approval Plans	Books Not Rec'd on Approval Plans	Books Rec'd But Source Unknown
Weatherhill-Asahi	1	1		
Westminster Press	1		1	
Weybright & Talley	1	1		
Wiley, John, & Sons	14	6	7	1
Wiley - Interscience	4	2	2	
Winthrop Publishers	5	3	2	
Xerox College Pubs.	2		2	
Yale University Press	11	9	1	1

APPENDIX VI

Analysis of Titles in the Study by Subject Area, Library of Congress Classification[1]

Subject Area According to Library of Congress Classification		Number of Titles in Study	Number of Titles Rec'd on Approval Plans	Number of Titles Not Rec'd on Approval Plans
B	Philosophy (General)	4	3	1
BD	Speculative Philosophy	1	1	
BR	Christianity	1		1
D	History of Europe (General)	19	12	7
DA	History of Great Britain	20	14	6
DB	History of Austria, Czechoslavakia, Hungary	6	5	1
DC	History of France	6	5	1
DD	History of Germany	12	8	4
DF	History of Greece	1	1	
DG	History of Italy	4	3	1
DH	History of the Netherlands	1	1	
DK	History of Russia, Poland, Finland	16	12	4
DP	History of Spain, Portugul	1	1	
DR	History of East Europe, the Balkan Peninsula	2	2	
DS	History of Asia	61	46	15
DT	History of Africa	18	14	4
DU	History of Oceania, Australia, New Zealand Islands of the Pacific	2	2	
E	History of America	87	57	30
F	U.S. Local History	38	24	14
GV	Recreation	1		1

[1]23 titles do not have Library of Congress Classification indicated on proof slips. Breakdown of these titles, by Dewey Classification appears in Appendix VII..

Subject Area According to Library of Congress Classification		Number of Titles in Study	Number of Titles Rec'd on Approval Plans	Number of Titles Not Rec'd on Approval Plans
H	Social Sciences (Gen)	21	11	10
HC	Economic History and Conditions, National Production	8	5	3
HD	Economic History: Production, Land, Agriculture, Industry	7	6	1
HE	Transportation and Communication	3	3	
HF	Commerce, Business, Finance	1	1	
HJ	Public Finance	4	3	1
HM	Sociology: Social Theory	11	8	3
HN	Social History and Conditions, Social Problems, Social Reform	25	17	8
HQ	Social Groups: Family, Marriage, Woman	3	2	1
HT	Communities, Classes, Races	6	5	1
HV	Social Pathology, Social and Public Welfare, Criminology	13	9	4
HX	Socialism, Communism, Anarchism	25	18	7
J	Political Science: Official Documents	1	1	
JA	Political Science: General Works	34	15	19
JC	Political Theory	29	19	10
JF	Constitutional History and Administration	20	8	12
JK	Constitutional History and Administration: U.S.	97	55	42
JL	Constitutional History and Administration British America; Latin America	4	1	3
JN	Constitutional History and Administration, Europe	28	12	16

Subject Area According to Library of Congress Classification		Number of Titles in Study	Number of Titles Rec'd on Approval Plans	Number of Titles Not Rec'd on Approval Plans
JQ	Constitutional History and Administration, Asia, Africa, Australia	10	5	5
JS	Constitutional History and Administration, Local Government	22	17	5
JV	Colonies and Colonization, Emigration and Immigration	1	1	
JX	International Law	59	39	20
KD	Law of Great Britain	2	1	1
KF	Law of the U.S.	79	33	46
KFI	Law of Illinois	1	1	
KFK	Law of Kentucky	1	1	
KFN	Law of New York	2		2
KFX	Law of U.S. Cities	1		1
LA	History of Education	4	1	3
LB	Theory and Practice of Education	1	1	
LC	Special Aspects of Education	1	1	
PA	Classical Literature	1	1	
PN	Literature, History and Collections (General), Journalism	11	9	2
PR	English Literature	1		1
PS	American Literature	1		1
PT	German Literature	1	1	
U	Military Science (General)	9	5	4
UA	Armies, Organization and Distribution	10	8	2
UB	Military Administration	4	2	2
Z	Bibliography and Library Science	1		1

APPENDIX VII

Analysis of Titles in the Study by Subject Area, Dewey Decimal Classification

Subject Area According to Dewey Decimal Classification	Number of Titles in Study	Number of Titles Rec'd on Approval Plans	Number of Titles Not Rec'd on Approval Plans
301 Sociology	2		2
320 Political Science	1	1	
340's Law	18	6	12
940's History	2	1	1